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HSX/001 CON1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Timothy M. Keiser et al.

Application No.: 09/465,607 Confirmation No.: 9080

Filed : December 17, 1999

For : COMPUTER-IMPLEMENTED SECURITIES TRADING  
SYSTEM WITH A VIRTUAL SPECIALIST FUNCTION

Group Art Unit : 3628

Examiner : Clement B. Graham

Hon. Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

New York, New York 10020  
February 24, 2005

FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, applicants hereby make the following U.S. patent applicationS of record in the above-identified patent application:

Liddy et al.	U.S. Patent 6,026,388	(February 15, 2000)
Lupien et al.	U.S. Patent 6,012,046	(January 4, 2000)
Garman	U.S. Patent 5,819,237	(October 6, 1998)
Kohorn	U.S. Patent 5,508,731	(April 16, 1996)

The aforementioned patents are listed on the accompanying Form PTO/SB/08a (submitted in duplicate) and copies are encloscd herewith.

It is respectfully requested that these patents be  
(1) fully considered by the Patent and Trademark Office during  
examination of this application; and (2) printed on any patent which  
may issue on this application. Applicants request that a copy of  
Form PTO/SB/08a, as considered and initialed by the Examiner, be  
returned with the next communication.

This Statement is being submitted after the mailing of a  
First Office Action on the merits. Accordingly, applicants have  
enclosed a check in the amount of \$180.00 in payment of the fee for  
submission of an Information Disclosure in accordance with 37 C.F.R.  
§1.97(c)(2). The Director is hereby authorized to charge payment of  
any additional fees required or to credit any overpayment of same in  
connection with this Fourth Supplemental Information Disclosure  
Statement.

A duplicate copy of this Fourth Supplemental Information  
Disclosure Statement is enclosed herewith.

Respectfully submitted,

I hereby certify that this  
Correspondence is being  
deposited with the U.S.  
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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450 on  
February 24, 2005

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# FOURTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANTS

(Use as many sheets as necessary)

Sheet 1 of 1

Application Number	09/465,607
Confirmation Number	9080
Filing Date	December 17, 1999
First Named Inventor	Timothy M. Keiser
Art Unit	3628
Examiner Name	Clement B. Graham
Attorney Docket Number	HSX/001 Cont. 1

## U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		6,026,388	02/15/00	Liddy et al.	
		6,012,046	01/04/00	Lupien et al.	
		5,819,237	10/06/98	Garman	
		5,508,731	04/16/96	Kohorn	

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number-Kind Code <sup>4</sup> (if known)				

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>		

Examiner Signature	Date Considered
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 300. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicants. 1 Applicant's unique citation designation number (optional). 2 See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.1.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicants are to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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